PTO/SB/21 (09-04) *JFW***TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

18

Application Number	10/759,581
Filing Date	January 16, 2004
First Named Inventor	Yamagami, Kenji
Art Unit	3627
Examiner Name	Unassigned
Attorney Docket Number	16869B-089600US

ENCLOSURES (Check all that apply)

- ☐ Fee Transmittal Form
☐ Fee Attached
☐ Amendment/Reply
☐ After Final
☐ Affidavits/declaration(s)
☐ Extension of Time Request
☐ Express Abandonment Request
☐ Information Disclosure Statement

- ☐ Drawing(s)
☐ Licensing-related Papers
☐ Petition
☐ Petition to Convert to a Provisional Application
☐ Power of Attorney, Revocation
Change of Correspondence Address
☐ Terminal Disclaimer
☐ Request for Refund
☐ CD, Number of CD(s) _____

- ☐ After Allowance Communication to TC
☐ Appeal Communication to Board of Appeals and Interferences
☐ Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
☐ Proprietary Information
☐ Status Letter
☒ Other Enclosure(s) (please identify below):
-Processing Fee Transmittal (submitted in duplicate)
-Petition and Fee to Correct Inventorship
-Inventor Statement for Correction of Inventorship
-Consent by Assignee in Support of Request for Correction of Inventorship
-Statement Under 37 CFR 3.73(b), copies of Assignments
-Declarations of Inventors, Sup. ADS
-Recordation Form Cover Sheet (in duplicate)
-Assignment
-Return Postcard

- ☐ Certified Copy of Priority Document(s)
☐ Reply to Missing Parts/ Incomplete Application
☐ Reply to Missing Parts under 37 CFR 1.52 or 1.53

Remarks The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

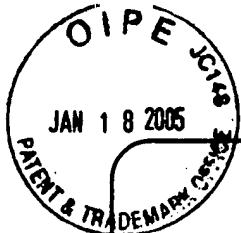
Firm Name	Townsend and Townsend and Crew LLP		
Signature	<i>George B. F. Yee</i>		
Printed name	George B. F. Yee		
Date	January 13, 2005	Reg. No.	37,478

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Signature	<i>Cynthia McKinley</i>		
Typed or printed name	Cynthia McKinley	Date	January 13, 2005

BEST AVAILABLE COPY

**PROCESSING FEE**
Under 37 CFR 1.17(i)
TRANSMITTAL

(Fees are subject to annual revision)

Send completed form to: Commissioner for Patents
P.O. Box 1450, Alexandria, VA 22313-1450

Application Number	10/759,581
Filing Date	January 16, 2004
First Named Inventor	Kenji Yamagami et al.
Art Unit	3627
Examiner Name	Unassigned
Attorney Docket Number	16869B-089600US

Enclosed is a paper filed under 37 CFR 1.48(a) that requires a processing fee (37 CFR 1.17(i)).
Payment of \$ 130.00 is enclosed.

This form should be included with the above-mentioned paper and faxed or mailed to the Office using the appropriate Mail Stop, if applicable. For transmittal of petition fees under 37 CFR 1.17(f), (g) or (h), see or PTO/SB/17p.

Payment of Fees (small entity amounts are NOT available for the petition fees)☒ The Commissioner is hereby authorized to charge the following fees to Deposit Account No. 20-1430:☒ processing fee under 37 CFR 1.17(i) ☒ any deficiency of fees and credit of any overpayments

Enclose a duplicative copy of this form for fee processing.

☐ Check in the amount of \$ _____ is enclosed.☐ Payment by credit card (Form PTO-2038 or equivalent enclosed). Do not provide credit card information on this form.**Processing Fees under 37 CFR 1.17(i): Fee \$130 Fee Code 1808 for all,**
Except for § 1.221 papers (Fee Code 1803)

For papers filed under:

- § 1.28(c)(3) - for processing a non-itemized fee deficiency based on an error in small entity status.
- § 1.41 - for supplying the name or names of the inventor or inventors after the filing date without an oath or declaration as prescribed by § 1.63, except in provisional applications.
- § 1.48 - for correcting inventorship, except in provisional applications.
- § 1.52(d) - for processing a nonprovisional application filed with a specification in a language other than English.
- § 1.53(b)(3) - to convert a provisional application filed under § 1.53(c) into a nonprovisional application under § 1.53(b).
- § 1.55 - for entry of late priority papers.
- § 1.99(e) - for processing a belated submission under § 1.99.
- § 1.103(b) - for requesting limited suspension of action, continued prosecution application (§ 1.53(d)).
- § 1.103(c) - for requesting limited suspension of action, request for continued examination (§ 1.114).
- § 1.103(d) - for requesting deferred examination of an application.
- § 1.217 - for processing a redacted copy of a paper submitted in the file of an application in which a redacted copy was submitted for the patent application publication.
- § 1.221 - for requesting voluntary publication or republication of an application. **Fee Code 1803**
- § 1.291(c)(5) - for processing a second or subsequent protest by the same real party in interest.
- § 1.497(d) - for filing an oath or declaration pursuant to 35 U.S.C. 371(c)(4) naming an inventive entity different from the inventive entity set forth in the international stage.
- § 3.81 - for a patent to issue to assignee, assignment submitted after payment of the issue fee.

SignatureGeorge B. F. Yee

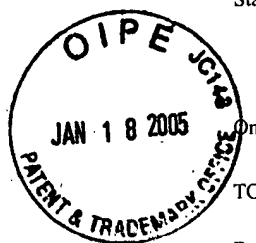
Typed or printed name1/13/05

Date37,478

Registration No., if applicable

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

PATENT
Docket No.: 16869B-089600US
Client Ref. No.: HAL-ID 284



On

1/13/05
TOWNSEND and TOWNSEND and CREW LLP

By:

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Kenji Yamagami et al.

Application No.: 10/759,581

Filed: January 16, 2004

For: METHOD AND APPARATUS FOR
LIMITING ACCESS TO A STORAGE
SYSTEM

Examiner: Unassigned

Art Unit: 3627

Petition and Fee to Correct Inventorship
Under 37 CFR § 1.48(a)

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Applicants respectfully request Correction of Inventorship by addition of the following inventor:

Name: Akira Fujibayashi

Citizenship: Japan

**Mailing Address: c/o Hitachi, Ltd., Intellectual Property Group,
12th Floor, Marunouchi Center Building, 6-1, Marunouchi 1-chome,
Chiyoda-ku, Tokyo, 101-8010 Japan**

The inventor Akira Fujibayashi was inadvertently omitted from the list of inventor(s) when the above-referenced application was filed in the U.S. Patent and

01/25/2005 RMEBRAHT 00000052 201430 10759581

01 FC:1464

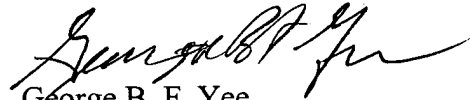
130.00 DA

Trademark Office. The name was inadvertently omitted and occurred without deceptive intent.

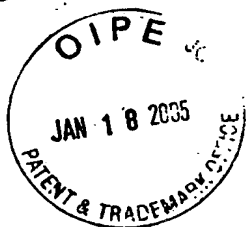
Submitted with this request are the following documents:

- 1) Inventor Statement for Correction of Inventorship under 37 CFR § 1.48(a)(2);
- 2) Consent by Assignee in Support of Request for Correction of Inventorship 37 C.F.R. § 1.48(a)(5);
- 3) Statement under 37 CFR § 3.73(b) with copies of Assignments, including Assignment executed by Akira Fujibayashi;
- 4) Declaration executed by Kenji Yamagami and Akira Fujibayashi under 37 CFR § 1.63 with Application Data Sheet; and
- 5) Processing fee as required under 37 CFR § 1.17 (i) (see Fee Transmittal submitted in duplicate).

Respectfully submitted,


George B. F. Yee
Reg. No. 37,478

TOWNSEND and TOWNSEND and CREW LLP
Two Embarcadero Center, Eighth Floor
San Francisco, California 94111-3834
Tel: (415) 576-0200
Fax: (415) 576-0300
GBFY:cmm



PATENT
Docket No.: 16869B-089600US
Client Ref. No.: HAL-ID 284

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Kenji Yamagami et al.

Application No.: 10/759,581

Filed: January 16, 2004

For: METHOD AND APPARATUS FOR
LIMITING ACCESS TO A STORAGE
SYSTEM

Examiner: Unassigned

Art Unit: 3627

Inventor Statement for Correction of
Inventorship under 37 CFR § 1.48(a)(2)

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

I, Akira Fujibayashi, hereby state that the error in inventorship in U.S.
Patent Application Serial No. 10/759,581, filed January 16, 2004, which omitted my
name as an inventor, occurred without any deceptive intention on my part.

Date: 12/9/04

Akira Fujibayashi
Akira Fujibayashi



PATENT
Docket No.: 16869B-089600US
Client Ref. No.: HAL-ID 284

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Kenji Yamagami et al.

Application No.: 10/759,581

Filed: January 16, 2004

For: METHOD AND APPARATUS FOR
LIMITING ACCESS TO A STORAGE
SYSTEM

Examiner: Unassigned

Art Unit: 3627


Consent by Assignee in Support of Request
for Correction of Inventorship Under 35
U.S.C. § 116 and 37 CFR § 1.48(a)(5)

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. § 1.48(a), in support of the Request for Correction of Inventorship filed in connection with the above-identified patent application, the assignee of the above-identified patent application, Hitachi, Ltd., of 6, Kanda Surugadai 4-chome, Chiyoda-ku, Tokyo, 101-8010, Japan, hereby consents to the filing of the Request for Correction of Inventorship to add Akira Fujibayashi as a co-inventor to the above-identified patent application. Attached is a Statement Under 37 C.F.R. § 3.73(b), which establishes said ownership rights.

Date: 12/15/04


Yasuo Sakuta
Executive Officer
Hitachi, Ltd.
Intellectual Property Group



STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Kenji Yamagami et al.

Application No./Patent No.: 10/759,581

Filed/Issue Date: January 16, 2004

Entitled: Method and Apparatus for Limiting Access to a Storage System

Hitachi, Ltd., a corporation of Japan

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by, percentage) of its ownership interest is _____%

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To : _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To : _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To : _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

12/15/04
Date

Yasuo Sakuta
Typed or printed name
[Signature]
Signature
Executive Officer
Title

Attorney Docket No.: 16869B-089600US

Client Reference No.: HAL 284

ASSIGNMENT OF PATENT APPLICATION

SOLE

WHEREAS, Kenji Yamagami of 1-8-11 Nishi-sakawa, Odawara-shi, 256-0817 Japan, hereinafter referred to as "Assignor," is the inventor of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: **METHOD AND APPARATUS FOR LIMITING ACCESS
TO A STORAGE SYSTEM**

Date(s) of execution of Declaration:

Filing Date: Herewith

Application No.: ; and

WHEREAS, Hitachi, Ltd., located at 6, Kanda Surugadai 4-chome, Chiyoda-ku, Tokyo, 101-8010 Japan, a corporation of Japan, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignor, Assignor has assigned, and by these presents does assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on any patent application claiming priority from the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignor had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignor further agrees that Assignor will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

Assignor hereby authorizes and requests Townsend and Townsend and Crew LLP, Two Embarcadero Center, Eighth Floor, San Francisco, CA 94111-3834, to insert herein above the application number and filing date of said application when known.

IN TESTIMONY WHEREOF, Assignor has signed his/her name on the date indicated.

Dated: 1-20-04


Kenji Yamagami

ASSIGNMENT OF PATENT APPLICATION

Sole

WHEREAS, Akira Fujibayashi of c/o Hitachi, Ltd., Intellectual Property Group
12th Floor, Marunouchi Center Building, 6-1, Marunouchi 1-chome, Chiyoda-ku, Tokyo, 100-8220 Japan,
hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-
identified application for United States Letters Patent:

Title of Invention: METHOD AND APPARATUS FOR LIMITING ACCESS
TO A STORAGE SYSTEM

Date(s) of execution of Declaration: December 9, 2004

Filing Date: January 16, 2004

Application No.: 10/759,581; and

WHEREAS, Hitachi, Ltd., located at 6 Kanda Surugadai 4-chome, Chiyoda-ku, Tokyo, 101-8010
Japan, a corporation of Japan, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the
invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors,
Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the
invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and
in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and
all countries throughout the world, and to claim the priority from the application as provided by the Paris
Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and
assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been
made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division,
renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a)
cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and
any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent
applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain
or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest
title thereto in Assignee, or Assignee's successors and assigns.

Assignors hereby authorize and request Townsend and Townsend and Crew LLP, Two
Embarcadero Center, Eighth Floor, San Francisco, CA 94111-3834, to insert herein above the application number
and filing date of said application when known.

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: 12/9/04

Akira Fujibayashi
Akira Fujibayashi



Attorney Docket No.: 16869B-089600US
Client Ref. No.: HAL-ID 284

PTO/SB/01A (08-03)

**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN
APPLICATION DATA SHEET (37 CFR 1.76)**

Title of Invention: METHOD AND APPARATUS FOR LIMITING ACCESS TO A STORAGE SYSTEM

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or
☒ Application No. 10/759,581, filed on January 16, 2004,
☐ as amended on _____ (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT International filing date of the continuation-in-part application.

All statements made herein of my/our own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

FULL NAME OF INVENTOR(S)

Inventor 1 Kenji Yamagami Date: 12-13-04

Signature: Kenji Yamagami Citizen of: Japan

Inventor 2 Akira Fujibayashi Date: _____

Signature: _____ Citizen of: Japan

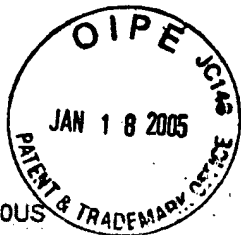
Inventor 3 _____ Date: _____

Signature: _____ Citizen of: _____

Inventor 4 _____ Date: _____

Signature: _____ Citizen of: _____

☐ Additional inventors are being named on additional form(s) attached hereto.



Attorney Docket No.: 16869B-089600US
Client Ref. No.: HAL-ID 284

PTO/SB/01A (08-03)

**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN
APPLICATION DATA SHEET (37 CFR 1.76)**

Title of Invention **METHOD AND APPARATUS FOR LIMITING ACCESS TO A STORAGE SYSTEM**

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or
- ☒ Application No. 10/759,581, filed on January 16, 2004,
- ☐ as amended on _____ (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT International filing date of the continuation-in-part application.

All statements made herein of my/our own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

FULL NAME OF INVENTOR(S)

Inventor 1 Kenji Yamagami Date: _____

Signature: _____ Citizen of: Japan

Inventor 2 Akira Fujibayashi Date: 12/9/09

Signature: Akira Fujibayashi Citizen of: Japan

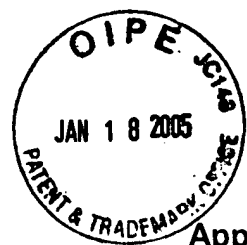
Inventor 3 _____ Date: _____

Signature: _____ Citizen of: _____

Inventor 4 _____ Date: _____

Signature: _____ Citizen of: _____

☐ Additional inventors are being named on additional form(s) attached hereto.



Application Data Sheet

Application Information

Application number:: 10/759,581
Filing Date:: 01/16/04
Application Type:: Regular
Subject Matter:: Utility
Suggested classification::
Suggested Group Art Unit::
CD-ROM or CD-R??:
Number of CD disks::
Number of copies of CDs::
Sequence Submission::
Computer Readable Form (CRF)?::
Number of copies of CRF::
Title:: Method and Apparatus for Limiting Access to a
Storage System
Attorney Docket Number:: 16869B-089600US
Request for Early Publication:: No
Request for Non-Publication:: No
Suggested Drawing Figure::
Total Drawing Sheets:: 4
Small Entity?:: No
Latin name::
Variety denomination name::
Petition included?:: No
Petition Type::
Licensed US Govt. Agency::
Contract or Grant Numbers One::
Secrecy Order in Parent Appl.:: No

Applicant Information

Applicant Authority Type:: Inventor
Primary Citizenship Country:: Japan
Status:: Full Capacity
Given Name:: Kenji
Middle Name::
Family Name:: Yamagami
Name Suffix::
City of Residence:: Odawara-shi
State or Province of Residence::
Country of Residence:: Japan
Street of Mailing Address:: c/o Hitachi, Ltd.
Postal Address Line Two:: Intellectual Property Group
Postal Address Line Three:: 12th Floor, Marunouchi Center Building
Postal Address Line Four:: 6-1, Marunouchi 1-chome, Chiyoda-ku
City of Mailing Address:: Tokyo
State or Province of mailing address::
Country of mailing address:: Japan
Postal or Zip Code of mailing address:: 100-8220

Applicant Authority Type:: Inventor
Primary Citizenship Country:: Japan
Status:: Full Capacity
Given Name:: Akira
Middle Name::
Family Name:: Fujibayashi
Name Suffix::
City of Residence:: Tokyo
State or Province of Residence::
Country of Residence:: Japan

Street of Mailing Address:: c/o Hitachi, Ltd.
Postal Address Line Two:: Intellectual Property Group
Postal Address Line Three:: 12th Floor, Marunouchi Center Building
Postal Address Line Four:: 6-1, Marunouchi 1-chome, Chiyoda-ku
City of Mailing Address:: Tokyo
State or Province of mailing address::
Country of mailing address:: Japan
Postal or Zip Code of mailing address:: 100-8220

Correspondence Information

Correspondence Customer Number:: 20350

Representative Information

Representative Customer Number:: 20350

Domestic Priority Information

Application:: Continuity Type:: Parent Application:: Parent Filing Date::

Foreign Priority Information

Country:: Application number:: Filing Date::

Assignee Information

Assignee Name:: Hitachi, Ltd.
Street of mailing address:: 6-6, Marunouchi 1-chome, Chiyoda-ku
City of mailing address:: Tokyo
State or Province of mailing address::
Country of mailing address:: Japan
Postal or Zip Code of mailing address::

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